U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	YOR920030431US1	Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Hamann, et al.	Confirmation No.:
(Use several sheets if necessary)	Filing Date Herewith	Group
Examiner		

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1	5,526,449	06/11/1996	Meade, et al.	385	14	
	A2	6,002,522	12/14/1999	Todori et al.	359	573	
	A3	2003/0118306	06/26/2003	Deliwala	385	125	02/19/2002
	A4						

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1						☐	☐
	B2						☐	☐

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C1	Espinola, et al., "Thermo-optic switching devices in thin silicon-on-insulator," Technical Digest. CLEO '03. Conference on Lasers and Electro-Optics, CWH5, 2003.
	C2	Huh, et al., "Nondegenerate monopole mode of single defect two-dimensional triangular photonic band-gap cavity", J. Appl. Phys., 92(2), July 15, 2002, p654-659
	C3	Kasahara, et al., "New Structure of Silica-Based Planar Lightwave Circuits for Low-Power Thermooptic Switch and its Application to 8x8 Optical Matrix Switch," Journal of Lightwave Technology, Vol. 20 Issue 6 Page 993 (June 2002)
	C4	Noda, et al., "Polarization Mode Control of Two-Dimensional Photonic Crystal Laser by Unit Cell Structure Design," Science, 293, 10 August 2001, 1123-1125
	C5	Soljacic, et al., "Photonic-crystal slow-light enhancement of non-linear phase sensitivity," J. Opt. Soc. Am. B. 19(9), Sept. 2002, 2052-2059
	C6	Soref, et al., "Electrooptical Effects in Silicon," IEEE Journal of Quantum Electronics, QE-23(1), January 1987, 123-129
	C7	Treyz, G., Silicon Mach-Zehnder Waveguide Interferometers Operating at 1-3 μm," Electronics Letters, 27(2), January 17, 1991, 118-120
	C8	Zhou, et al., "Characteristics of a Photonic Bandgap Single Defect Microcavity Electroluminescent Device," IEEE Journal of Quantum Electronics, 37(9), September 2001, 1153-1160

Examiner	Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d)			Docket No. YOR920030431US1
In re Application of: **Hamann, et al.**			
Serial No. **Unknown**	Filing Date **HEREWITH**	Examiner	Group Art Unit
Title: **METHOD AND APPARATUS FOR FORMING LATERAL ELECTRICAL CONTACTS FOR PHOTONIC CRYSTAL DEVICES**			

Address to:
Commissioner for Patents
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

37 CFR 1.97(d)

3. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)

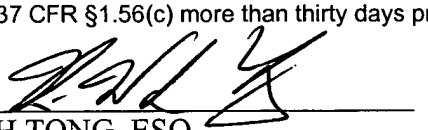
☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))

☐ No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))

☐ The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.

37 CFR §1.704(d)

4. ☐ Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.



Dated: 10/15/03

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